



NASA Headquarters
Washington, DC 20546

H OWI-7020-R012C
September 10, 1999

Aero-Space Technology Strategic Enterprise (HQ/Code R)

Office Work Instruction

Enterprise Strategic Planning

CHECK THE MASTER LIST at

<http://hqiso9000.hq.nasa.gov/>

VERIFY THAT THIS IS THE CORRECT VERSION BEFORE USE

Responsible Office: Code RG

Subject: Enterprise Strategic Planning

DOCUMENT HISTORY LOG

<u>Status</u> (<u>Draft/</u> <u>Baseline/</u> <u>Revision/</u> <u>Canceled</u>)	<u>Document</u> <u>Revision</u>	<u>Effective</u> <u>Date</u>	<u>Description</u>
Baseline		1/29/1999	
Revision	A	4/30/1999	Paragraph 2; expanded the scope and applicability. Paragraph 3; added several definitions. Paragraph 5: modified the flow chart to follow the revised procedure. Paragraph 6; revised column headings to include "Actionee", defined responsibility for each step, added document control procedures, added criteria for acceptable workmanship, defined and clarified process using several sub-processes. Paragraph 7; revised to conform to revised HCP 1400-1, and clarified quality record retention periods.
Revision	B	8/13/1999	Revised Paragraphs 6.1 and 6.2 per NCR 331 to address use of interim and draft documents in review and approval cycle. Defined "Electronic Document Control" and made appropriate references in work instruction text.
Revision	C	9/10/99	Per Code R Corrective Action R/1999-00119, corrected Quality Record information for Executive Board (EB) minute in section 7.

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Approved by: Michael B. Mann -- 9/10/99

1. **PURPOSE** Provide the defined processes for OAT strategic planning as manifested by the design, development and approval of the Aero-Space Technology (AST) Enterprise (HQ/R) Strategic Plan, and its associated products – Strategic Vision Statement, advocacy materials, the Goal Roadmaps, and the submission/input for the NASA Strategic Plan.
2. **SCOPE and APPLICABILITY**
 - 2.1 The Enterprise Strategic Plan and associated products are produced by the Goals Division (RG) and updated periodically.
 - 2.2 This H OWI applies to Code R organizations supporting strategic planning, and the formulation of the Enterprise Strategic Plan for the AST Enterprise and associated products.
3. **DEFINITIONS**

AA	Associate Administrator for Aero-Space Technology
ADM	Alliance Development Manager, an assignment in Code RG
AS	Administrative Support, an assignment in Code RG
CD	Center Director
CFO	Chief Financial Officer, Office of the Chief Financial Officer, (Code B), NASA Headquarters
DAA	Deputy Associate Administrator
DCD	Deputy Center Director
DD	Division Director, Code RG
EB	Executive Board for the Aero-Space Technology Strategic Enterprise, including the AA, Deputy AA, Chief Financial Officer (Code B), and Center Directors and/or their Deputies from ARC, DFRC, LARC, GRC, and MSFC.
EO	Executive Officer, an assignment in Code R (Front Office)
GMs	Goal Managers—assignments in Code RG.

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Electronic Document Control	<p>To ensure the control of electronic documents and data, the Code RG Division Director has the responsibility to explicitly provide for:</p> <ul style="list-style-type: none">• The authentication of controlled electronic documents/data as approved for issue and use;• The identification of a secure electronic storage location that restricts the maintenance of controlled electronic documents/data (i.e., posting, deletion) to the authorized actionee/employee, and allows, at a minimum, for access by employees that require the controlled documents/data to perform work; and• The identification of release/use restrictions, if applicable to controlled electronic documents/data.
SIM	Senior Integration Manager, an assignment in Code RG
RLT	Office of Aero-Space Technology (Code R) Leadership Team, including the AA, DAA, & Division Directors (RB, RG, RP, RS, & RW)
Roadmap	Document that articulates the strategy, requirements, and performance metrics to achieve an Enterprise Technology Goal (ETG). Roadmap contains challenges, outcomes, thrust and program/project elements contributing to the achievement of an ETG. Includes NASA and partner elements, both funded and unfunded.
SVS	Strategic Vision Statement, a product of this HOWI (see sub-process 6.2).

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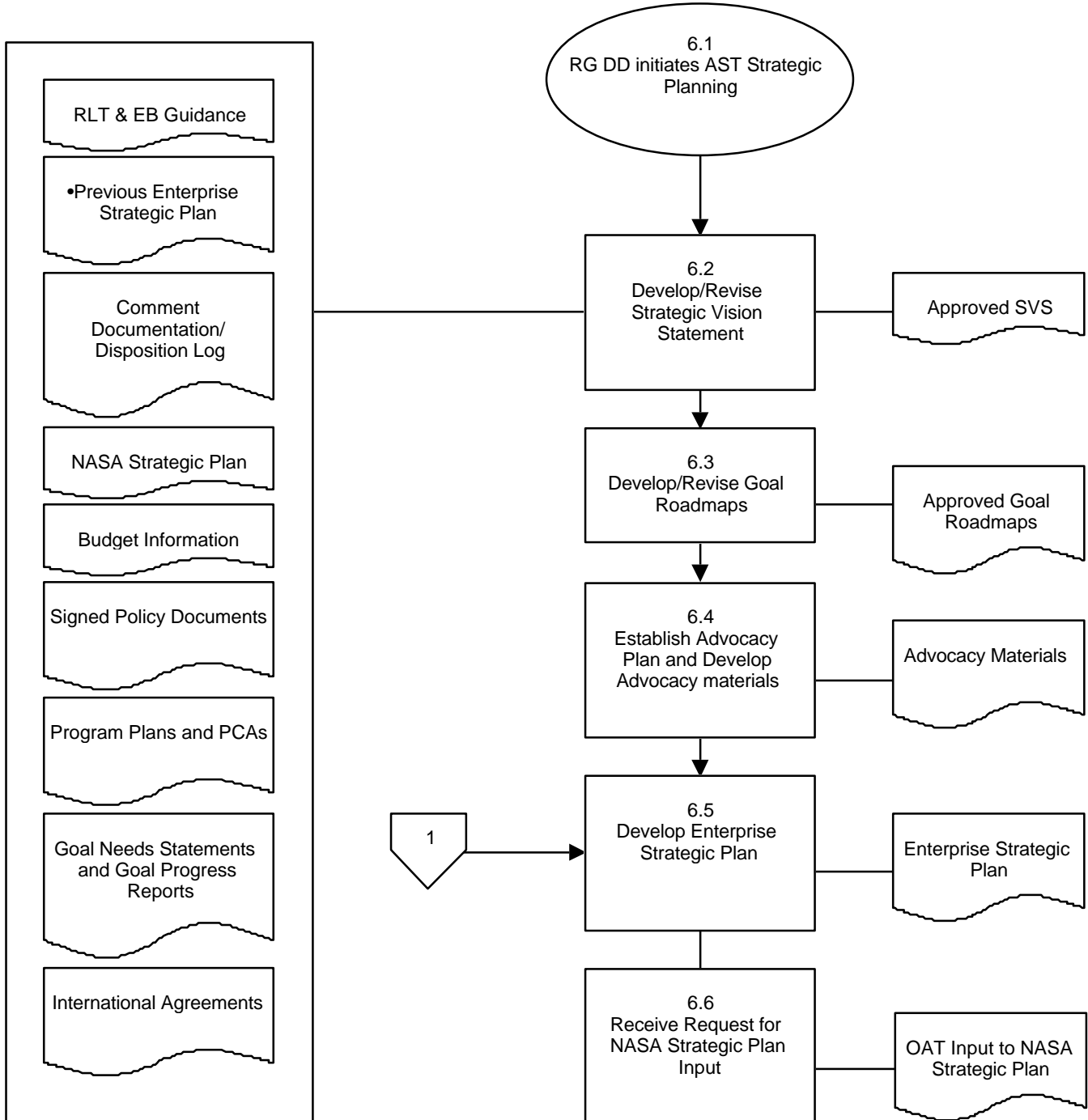
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- 4. REFERENCE DOCUMENTS**
- Aeronautics Strategic Plan: Achieving Aeronautics Leadership-1995-2000 (1995) - < [http://ctd.hq.nasa.gov/ iso9000/](http://ctd.hq.nasa.gov/iso9000/)>
- NPD 1000.1A - NASA Strategic Plan.
- NPG 1000.2 - NASA Strategic Management Handbook
- NPG 7120.5A - NASA Programs and Project Management Processes and Requirements
- NPD 7120.4A - Program/Project Management,
- Three Pillars for Success: NASA's Response to Achieve the National Priorities in Aeronautics & Space Transportation (March 1997) - <<http://ctd.hq.nasa.gov/iso9000/>>
- The correct version of the NPD, NPG, NHB documents cited above may be obtained from the NODIS Directives Library at <<http://nodis.hq.nasa.gov/Library/processes.html>>

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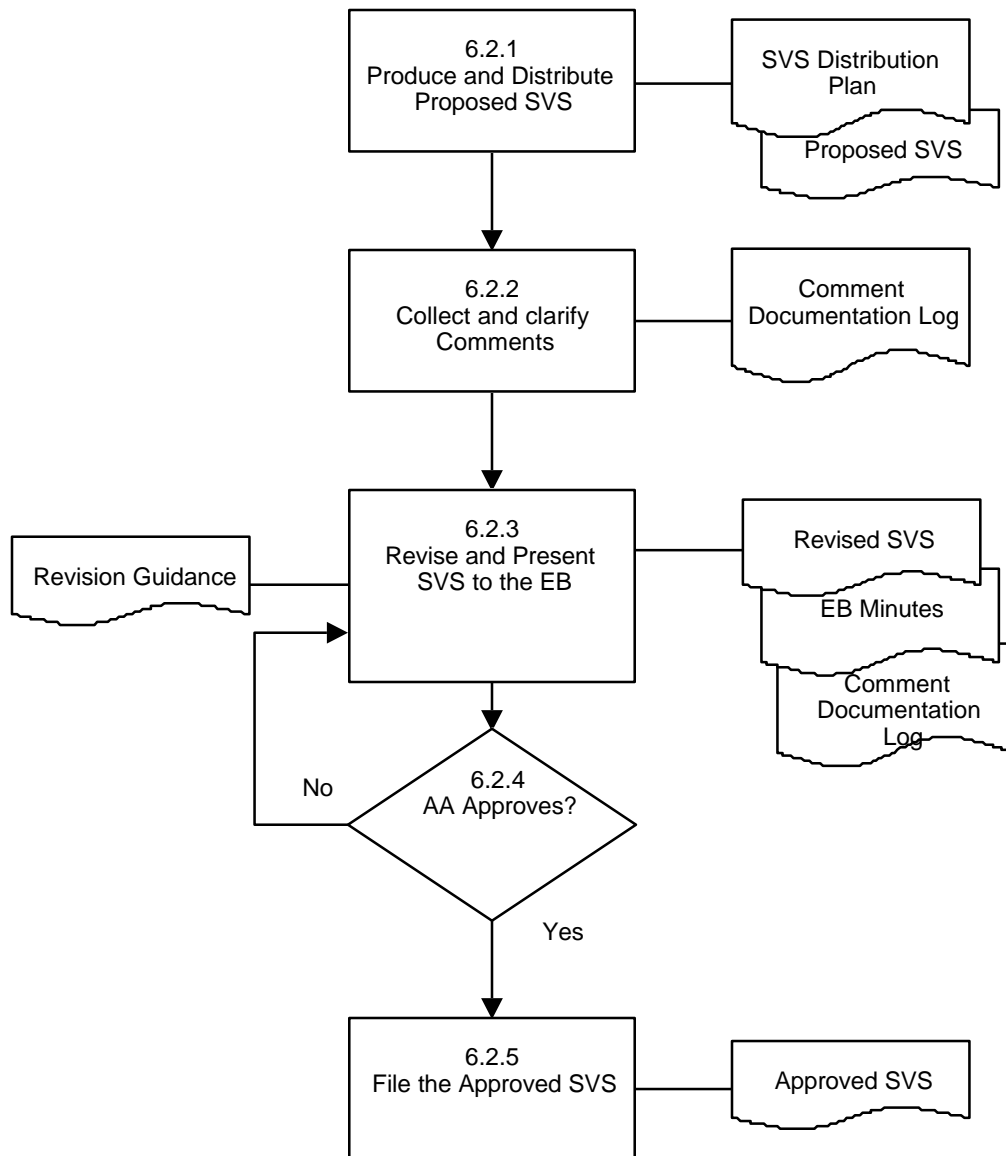
5. FLOWCHART



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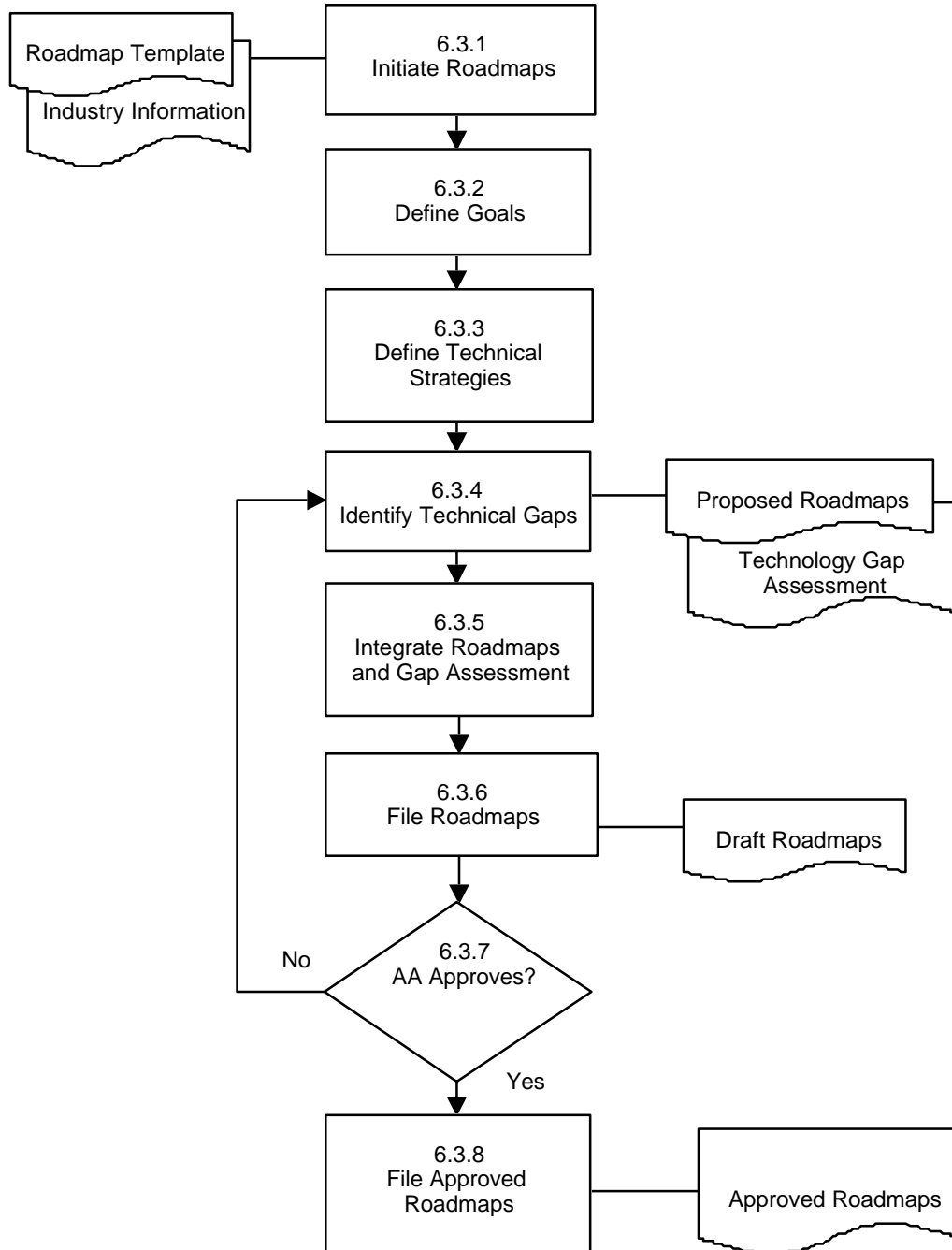
6.2 Develop/Revise Strategic Vision Statement Subprocess



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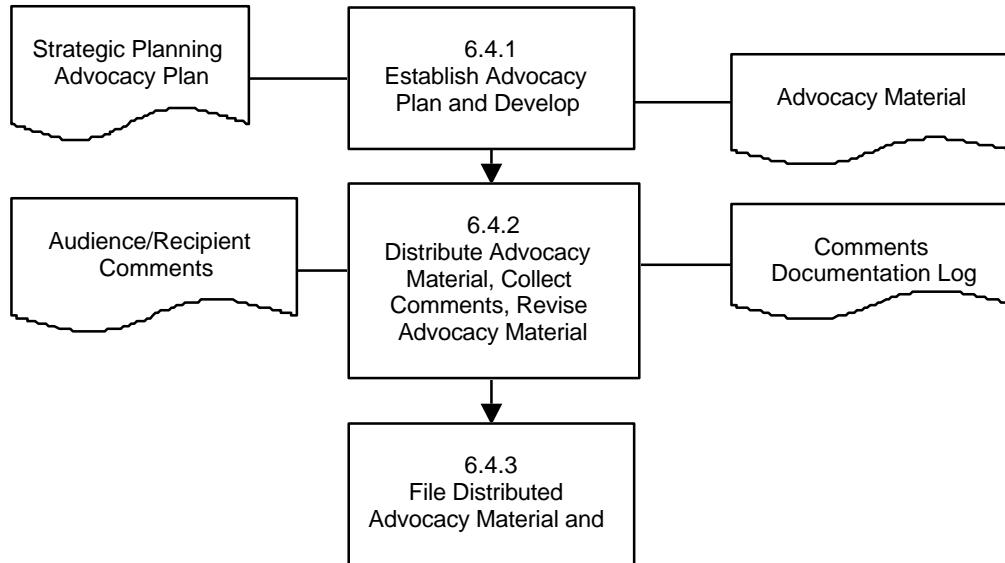
6.3 Develop/Revise Goal Roadmaps Subprocess



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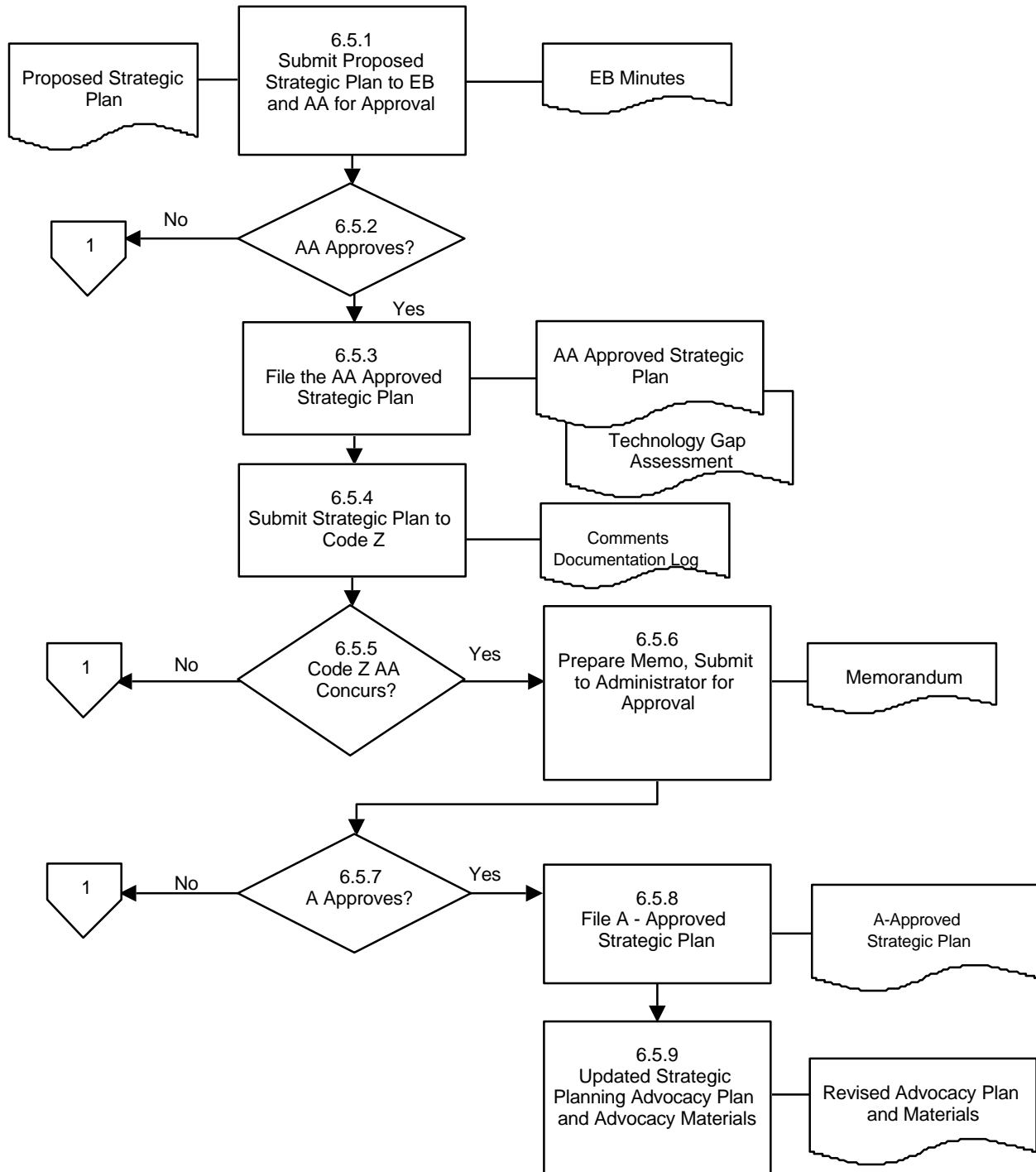
6.4 Establish Advocacy Plan and Develop Materials Subprocess



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6.5 Develop Code R Strategic Plan Subprocess



6. PROCEDURE

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<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.1	DD	At the direction of the AA and/or in fulfillment of NPG 1000.2, the RG DD initiates AST Strategic Planning steps. The RG DD is authorized to approve the use of documents and data that are not specified in this procedure; such use of draft or unanticipated documents and data shall be documented.
6.2	DD	Manage the development or revision of a Strategic Vision Statement (SVS) for the AST Enterprise. The SVS shall reflect and identify the current, derived and projected work requirements and other critical factors or criteria for the design of the Enterprise Strategic Plan. The identified requirements, factors and criteria shall be assessed and clearly designated in the SVS as "Strategic Planning Design Inputs and Assumptions". The sources for the identified requirements and inputs include: verbal and written guidance (e.g., meeting minutes) from the RLT and the EB, the previously approved Enterprise Strategic Plan, the prior synthesis of customer/stakeholder feedback, NPD, 1000.1, NPG 1000.2, and the approved outputs of H OWI-7410-R001A, "Enterprise/IPO Budget Formulation"; H OWI-1410-R006A, "Enterprise/IPO Policy Formulation"; H OWI-7100-R007A, "Program/Project Formulation and Approval", H OWI-7020-R014A, "Performance Assessment and Investment Strategy", and H OWI-1154-R015A, "Review of Interagency Agreements". The Budget Information, Program Plans, PCAs, Goal Needs Statements, and Goal Progress Reports may be used in working draft form if those drafts provide more current information than the current controlled documents, per the approval of the Division Director. The SVS is bounded by the NASA Strategic Plan (NPD 1000.1) and that portion of the Agency's overall mission currently assigned to the AST Enterprise by the NASA Administrator. The RG DD shall ensure that the SVS is controlled in compliance with sections 4.5 and 4.16 of the HQ Quality System Manual. Sub-process steps 6.2.1 through 6.2.5 define the SVS development/revision process in greater detail. This document, which is stored electronically, is placed on the secure Code R server and maintained in accordance with Electronic Document Control as defined in Section 3..

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| 6.2.1 | SIM | Produce and distribute a Proposed SVS in coordination with the RG DD, RLT and the EB. Establish a plan for the distribution of the Proposed SVS. The distribution plan shall include a listing of intended recipients of the Proposed SVS that is representative of the current and project customers and stakeholders of the AST Enterprise. The SVS is distributed in accordance to the plan to the RLT, EB and selected customers, partners, suppliers and stakeholders for the purpose of obtaining comments and feedback. Distribution of the SVS shall be implemented by various means (e.g., direct mailings, Internet, meetings, and conferences). |
| 6.2.2 | ADM | Collect, clarify and document comments on the Proposed SVS from distribution recipients. Comments and feedback shall be documented in a Comments Documentation Log and provided to the SIM for step 6.2.3. |
| 6.2.3 | SIM | Revise the SVS in consideration of the comments documented in steps 6.2.2, (or documented guidance if to be revised per step 6.2.4, or documented comments resulting from the distribution/communication of advocacy materials per step 6.3.2) and in coordination with the RG DD and the RLT. Document the disposition of comments and guidance in the Comment Documentation Log. Confirm that the revised SVS fulfills the requirements and factors identified in step 6.2. Present the Proposed SVS (as revised) to the EB. |
| 6.2.4 | EB/
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AA | The Executive Board makes a recommendation for approval or disapproval of the Proposed SVS (revised). Based on the recommendations from the EB, the Code R AA approves or disapproves the Proposed SVS (revised). If disapproved, return to step 6.2.3 for further revision with verbal and/or written guidance. Ensure comments and disposition of comments are documented. If approved, proceed to step 6.2.5. Recommendations, decisions, and associated guidance shall be recorded in EB Minutes. |

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- 6.2.5** **AS** The AS electronically files the Approved SVS, as identified by the SIM, on a secure Code R server, deleting prior versions. Only the AS, at the direction of the SIM, will have the authority to alter the electronic files placed on the secure server. The AS informs the RLT and the GMs that the Approved SVS is available on the secure server.
- 6.3** **DD** The RG DD manages the development and/ or revision of Goal Roadmaps in accordance with the approved SVS. The RG DD shall ensure that the Strategic Planning Design Inputs and Assumptions designated in the SVS are applied to the design and development of the Goal Roadmaps. The RG DD shall direct the development/revision of Goal Roadmaps by issuing verbal and/or written direction to the GMs. Sub-processes 6.3.1 through 6.3.8 provided greater detail for the development/revision of the Goal Roadmaps. This document, which is stored electronically, is placed on the secure Code R server and maintained in accordance with Electronic Document Control as defined in Section 3..
- 6.3.1** **GMs** At the direction of the RG DD, the GMs initiate the development or revision of Goal Roadmaps. Goal Roadmaps are developed/maintained in accordance with the samples of Goal Roadmaps available at <<http://www.hq.nasa.gov/office/aero/oastthp/programs/goals.pdf>>. Goal Roadmaps must contain a timeline, the major goal thrusts, challenges, specific desired outcomes and benefits, interim deliverables and must show relationships between the goals and current and planned programs/projects (both funded and proposed) of NASA and its partners (government and industry). GMs shall work with a wide group of industry and government sources to obtain information, conduct analyses, and foster consensus in the course of formulating or revising Goal Roadmaps. The Goal Roadmaps shall be designed and developed to fulfill the Strategic Planning Design Inputs and Assumptions designated in the Approved SVS. The RG DD shall specify the time intervals at which the GMs shall identify target goals for the Goal Roadmaps.

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| 6.3.2 | GMs | The GMs shall identify target goals at specified intervals (i.e., 2007 and 2022); determine major challenges toward achieving the goals at the specified intervals; define outcomes consistent with achieving the target goals. As a part of the goal definition, ambitious, but achievable metrics are defined and included in the goal statement as a way of measuring goal achievement. |
| 6.3.3 | GMs | Define top-level technical strategies to fulfill the goals and achieve the desired outcomes. The technical strategies are determined in consultation with the SIM and sources of technical expertise. |
| 6.3.4 | GMs | Identify significant technological gaps and issues within the technical strategies (see HOWI-7210-R014A). The significance of technology gaps shall be determined in coordination with the SIM, RG DD and selected sources of expertise. Technology gaps are the differences between requirements as established by the approved SVS, and what currently approved programs/projects have accomplished or can accomplish. Identify program elements to address identified gaps, including program descriptions, major deliverables, schedules and partnership options. Provide Technology Gap Assessments to the SIM. Prepare a Proposed Roadmap and provide to the SIM. |
| 6.3.5 | SIM | Review and integrate the Goal Roadmaps and Technical Gap Assessments prepared by the GMs in coordination with the RG DD and the RLT, revising the Goal Roadmaps as necessary to ensure consistent formatting/content and adherence to the approved SVS and documented EB guidance. |
| 6.3.6 | AS | The AS electronically files the current revision of the Goal Roadmaps, as identified by the SIM, on a secure Code R server, deleting prior versions. Only the AS, at the direction of the SIM, will have the authority to alter the electronic files placed on the secure server. |
| 6.3.7 | DD | Submit the proposed, integrated Goal Roadmaps and Gap Assessments to the EB and the AA for review and approval. Based on the recommendations and guidance of the EB, the AA approves or disapproves the Proposed Goal Roadmaps. If approved, proceed to step 6.3.8; if disapproved return to step 6.3.4 with revision guidance. Recommendations, decisions and associated guidance shall be recorded in EB minutes. |

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- 6.3.8** AS The AS will electronically file the Approved Goal Roadmaps, as identified by the SIM, on a secure Code R server, deleting prior versions. Only the AS, at the direction of the SIM, will have the authority to alter the electronic files placed on the secure server. The AS informs the RLT, GMs and ADM that Approved Goal Roadmaps are available on the secure server.
- 6.4** ADM Establish a Strategic Planning Advocacy Plan in coordination with the SIM, RD DD and the RLT. The plan shall require Strategic Planning Advocacy materials to consistently reflect the Approved SVS and the Approved Goal Roadmaps, and shall identify the methods of distribution/communication, the target audiences/recipients of the advocacy materials, and organizational/technical interfaces and approvals required to create and produce the advocacy materials. The intended audiences/recipients should be representative of the current and project customers, partners, suppliers and stakeholders of the AST Enterprise. Distribution/communication of the advocacy materials may be implemented by various means (e.g., direct mailings, Internet, meetings, and conferences). Sub-process steps 6.4.1 through 6.4.3 provide greater detail on the development of the Strategic Planning Advocacy Plan and Advocacy Materials. Step 6.4 and its subordinate subprocess steps may be executed in parallel with step 6.5 and its subordinate subprocess steps.
- 6.4.1** ADM Create, revise and oversee production of advocacy materials in coordination with the IM, DD, and RLT in accordance with the established Strategic Planning Advocacy Plan (step 6.4).

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- 6.4.2** ADM Distribute/communicate Advocacy Materials in accordance with the established Strategic Planning Advocacy Plan. Advocacy Materials may be reviewed with targeted audiences/recipients in meetings and other forums. Collect, clarify and document audience/recipient comments resulting from the distribution/communication of Advocacy Materials. Documented comments shall be recorded in the Comments Documentation Log, and utilized to revise the advocacy materials (return to step 6.4.1.) and/or the Approved SVS (return to step 6.2.3). The disposition of documented comments shall be recorded in the Comments Documentation Log. Provide the Comments Documentation Log, as updated, to the SIM for use in step 6.2.3 and to the AS for filing. Provide Advocacy Materials, as distributed, to the AS for filing.
- 6.4.3.** AS Electronically file the updated Comments Documentation Log for use within the steps of this procedure and the Advocacy Materials as provided by the ADM.
- 6.5** SIM Develop or revise a proposed Strategic Plan for the Aero-Space Technology Strategic Enterprise and oversee production of the plan in accordance with NPD 1000.1, NPG 1000.2, the approved SVS and Goal Roadmaps, documented comments resulting from the distribution of the SVS and Advocacy Materials, and verbal and/or written guidance from the DD, RLT, EB or AA. Maintain the Comments Documentation Log recording the disposition of documented comments and variances from the approved SVS and Goal Roadmaps. The Strategic Plan shall be prepared in coordination with the RLT, the RG DD and GMs. Sub-process steps 6.5.1 through 6.5.9 provide greater detail for the development of the Strategic Plan. Step 6.5 and its subordinate subprocess steps may be executed in parallel with step 6.4 and its subordinate subprocess steps. This document, which is stored electronically, is placed on the secure Code R server and maintained in accordance with Electronic Document Control and Concurrence Procedures.
- 6.5.1** SIM Submit the proposed Strategic Plan to the EB and the AA for review and approval. The recommendations and associated guidance of the EB are documented in EB meeting minutes, which are forwarded to the AA for consideration.

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| 6.5.2 | AA | The AA approves and signs the proposed Strategic Plan (per NPG 1000.2) prior to issue and use, or returns the plan to the SIM for revision per verbal and /or written guidance (return to step 6.5). If the plan is approved as submitted, proceed to step 6.5.3. |
| 6.5.3 | AS | Electronically file the AA-approved Strategic Plan , as approved by the SIM, in the Code R server directory controlled by Code RG and maintain for use within NASA. |
| 6.5.4 | SIM | Submit, via the AA, the Strategic Plan to the Associate Administrator (AA) for Policy and Plans (Code Z) for agency-level review and concurrence. |
| 6.5.5 | SIM | Obtain Code Z AA concurrence and/or documented comments. If the Code Z AA does not concur with the AA-approved Strategic Plan as submitted, update the Comments Documentation Log with documented comments received from Code Z, and return to step 6.5 to disposition the Code Z comments and revise the plan. Once the Code Z AA concurs with the plan, proceed to step 6.5.6. |
| 6.5.6 | AS | At the direction of the SIM, prepare the memorandum and transmittal package for submitting, via the AA, the AA-approved Strategic Plan to the Administrator for agency-level approval. File the Strategic Plan and associated documentation for use within NASA. |
| 6.5.7 | AA | Obtain the Administrator's approval of, or guidance on, the submitted Strategic Plan. If approved by the Administrator, proceed to step 6.5.8 and 6.5.9. If not approved, provide the Administrator's guidance to the SIM for dispositioning and revision of the plan (return to step 6.5). |
| 6.5.8 | AS | The Administrator-approved Strategic Plan is electronically filed in the secure Code R server directory controlled by Code RG, and is maintained for use. |
| 6.5.9 | ADM | Update the Strategic Planning Advocacy Plan. Revise Advocacy Materials in accordance with the Administrator-approved Strategic Plan. Implement the external distribution/communication of the plan. |
| 6.6 | AA or DD | Receive request from Code Z or Code A to provide input for the NASA Strategic Plan. Provide verbal and/or written guidance to the IM to prepare and submit the input. |

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- 6.7** **SIM** Develop and submit, via the AA, the OAT input in accordance with the guidance received (step 6.6) and consistent with the AST Enterprise Strategic Plan, SVS and Roadmaps as approved by the AA and/or Administrator. This document, which is stored electronically, is placed on the secure Code R server and maintained in accordance with Electronic Document Control as defined in Section 3.

7. QUALITY RECORDS

<u>Record ID</u>	<u>Owner</u>	<u>Location</u>	<u>Media</u>	<u>Schedule Number and Item Number</u>	<u>Retention/Disposition</u>
Advocacy Material	RG ADM	Code R Server	Electronic	Schedule 7, Item 4.A	Permanent. Retire to Federal Records Center (FRC) 5 Years After Supercession or Completion
Office of Aero-Space Technology input to NASA Strategic Plan	RG DD	Code R Server	Electronic	Schedule 7, Item 4.B	Retain 5 Years, then Destroy
Roadmaps	GMs	Code R Server	Electronic	Schedule 7, Item 4.B	Retain 5 Years, then Destroy
Enterprise Strategic Plan	RG DD	Code R Server	Electronic	Schedule 7, Item 4.A	Permanent. Retire to Federal Records Center (FRC) 5 Years After Supercession or Completion
EB Minutes	EO	Code R Server	Electronic	Schedule 1, Item 14.b.1(a)	Retire to FRC when 2 years old.

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Comment Docu- mentation Log	SIM	Code R Server	Electronic	Schedule 7, Item 5A1(b)	Destroy 1 year after document is published.
Strategic Vision Statement	RG DD	Code R Server	Electronic	Schedule 7, Item 5A3(a)	Permanent. Retire to FRC when 2 years old